Core Principle Description	Supporting Principle Description	Outcome required	DDC Evidence	Evidenc e verified	Hyperlinks to evidence in Covalent	Attached evidence / documents in Covalent
	Exercising strategic leadership by developing	adership by developing purpose and vision.	Communication strategy is contained within the constitution		Constitution Corporate Plan Financial information Performance Information Scrutiny information	Live partnerships Current 02.01.13.xls
	and clearly communicating the authority's purpose and		Communication toolkit is in place and available on the intranet for all staff			Partnership Agreement Guidance.docx
	vision and its intended outcomes for citizens and	local area and its implications for the authority's governance arrangements.	copy is available on the Internet			Partnership assessment form.docx
	service users	It ensures that partnerships are underpinned by a common vision of their work that is	Corporate plan is agreed and up to date Financial statements are up to date and published on the website	17-Jul-13 17-Jul-13		Partnership assessment scoring form.docx Partnership Framework.doc
		understood and agreed by all partners	Governance assurance statement is approved and published on the website	17-Jul-13		Partnerships - follow-up Questionnaire Jan 2013.doc
		to communicate the authority's activities and	Governance Framework Local Code is in place and is regularly reviewed.	17-Jul-13		Cabinet Report - Partnerships - Feb 2013.doc
		achievements, its financial position and performance	Partnership protocol is in place and regularly reviewed Performance is reported regularly in line	17-Jul-13 17-Jul-13	-	Member Induction - Partnerships Briefing.doc
			with the Governance Framework and pubshed on the website	17 Jul 13		
			Scrutiny annual report is published on the website	17-Jul-13		
1			Shared service agreements in place	17-Jul-13		Henrie Neede Ormine Deliver des
1	Ensure that users receive a high guality of service	y of service rectly or in b, or by and information to ensure effective service review is available for the current year Corporate Plan Complaints process in place with on-going monitoring and review of complaints and 17-Jul-13 Financial information Neighbourhood forums		Housing Needs Service Delivery.doc		
	whether directly or in partnership, or by commissioning		Complaints process in place with on-going	17-Jul-13	Financial information Neighbourhood forums	CorporatePlan2012-2016.pdf
	and deal with failure in service delivery	reported to Standards Committee. Corporate Plan and service plans	17-Jul-13		2012-13 Legal Service Plan.doc	
Focusing on the purpose of the authority and on the outcomes for			completed and published Medium term financial plan is completed and published	17-Jul-13	3	Accountancy Service Plan 2012-13.doc
the community and creating and implementing a vision for the local area.			Neighbourhood forums held throughout the year	17-Jul-13		Alt Svc Delivery Service Plan 2012-13.doc
arca.			Performance reports are reviewed by CMT, Cabinet and Scrutiny and published on teh website	17-Jul-13		Audit service plan 2012-13 (2).doc
			SIMALTO budget planning exercise planned for 2013/14	17-Jul-13	3	Bdg Control Serv Plan 2012-13.doc
						Community Leisure Service Plan 2012-13 (3).doc
					-	Corporate Support Serv Plan 2012-13.doc Env Corp Assets 2012 - 2013 Serv Plan combined.doc
					-	Financial Svcs Service Plan 2012-13.doc Housing Service Plan 2012-13.doc
						Leadership and Corporate Communication Service plan 2012-13.doc Annual Performance Report final 29June
	Ensuring that the authority	Decide how value for money is to be measured		17-Jul-13	Procurement	2012.pdf
	makes best use of resources and that tax			17_00_12	Performance	
	payers and service users receive excellent value for money	the environmental impact of policies, plans and decisions		ı, −jui−13		

Core Principle Description	Supporting Principle Description	Outcome required	DDC Evidence	Evidenc e	Hyperlinks to evidence in Covalent	Attached evidence / documents in Covalent
				verified		
		Measure the environmental impact of policies, plans and decision	Performance report, which shows key targets for the Council including those for shared services, is produced quarterly. It is reviewed by CMT, Cabinet and Scrutiny and published on the Website. Procurement information is available on the website			
	Ensuring effective leadership throughout the	A clear statement is set out of the respective roles and responsibilities of the executive and	Job descriptions for Members and Senior Officers are contained in the constitution	18-Jul-13	Constitution Members Roles and	Constitution.pdf
	authority and being clear about executive and non- executive functions and of the roles and responsibilities	of the executive's members individually, also the approach towards putting this into practice.	Member/officer protocol is in place and is part of the Constitution Roles and Responsibilities of Members are published on the website	18-Jul-13 18-Jul-13	<u>Responsibilities</u>	Counter Fraud and Corruption Policies.doc How Decisions are Made at DDC - August 11.doc
	of the scrutiny function	Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers and of the leadership team and its				Induction Evening Pack List.doc IT Questionnaire.doc Ivysoft - Explanatory document.doc Letter to new Councillor - May 11.doc Member Induction - Partnerships Briefing.doc Member Job Description.doc Members' Allowances Scheme 2011.doc Members ICT Guide - May 2011.doc Members ICT Overview - Nov 11.doc
		members individually				
						DDC Decision-Making Structure - May 11.doc DDC Structure - April 2011.doc New Personal Payroll Information Sheet for Councillors.doc 2011 Member Training Programme - Version 2.doc
					•	2011 Member Training Programme - Version 2.doo Personal Information Form.doc Standards for England Blogging Guide.doc
	Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of authority members and officers are carried out to a high standard	reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required		18–Jul–13		<u>Constitution.pdf</u>
		The chief executive or equivalent is responsible and accountable to the authority for all aspects of operational management				
		Protocols developed to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained				
Members and officers working together to achieve a common		A senior officer (the S151 officer) is responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	Job Descriptions / specifications of Senior Officers are contained within the Constitution including the S151 officer and the Monitoring Officer	18-Jul-13		

ore Principle Description	Supporting Principle Description	Outcome required	DDC Evidence	Evidenc	Hyperlinks to evidence in Covalent	Attached evidence / documents in Covalent
	Description			e verified		
purpose with clearly defined			S151 officer give a statement of	18-Jul-13		
functions and roles		A senior officer (usually the monitoring officer)	compliance. This is contained within the			
		is responsible to the authority for ensuring that	Annual Governance Statement			
		agreed procedures are followed and that all	Scheme of delegation is documented and	18-Jul-13		
		applicable statutes and regulations are complie	contained in the constitution			
			Standing orders and financial regulations	18-Jul-13		
			are reviewed on a regular basis as per the			
			Monitoring officer and S151 officer assurance statements			
	Ensuring relationships	Protocols developed to ensure effective	Budget process in place and budgets are	18-Jul-13	Constitution	Housing Needs Service Delivery.doc
	between the authority and		published on the website.		Corporate Plan	
		in their respective roles			Financial information	
	each knows what to expect				Neighbourhood forums	
	of the other		Job evaluations are done by fully trained	18-Jul-13	Performance	Live partnerships Current 02.01.13.xls
		of members and officers and an effective	officers		4	
		structure for managing the process, including	Medium term financial plan (MTFP) has	18-Jul-13		Partnership Agreement Guidance.docx
		an effective remuneration panel (if applicable)	been produced and published.		13	
		Effective mechanisms exist to monitor service delivery	Member officer protocol is in the constitution	18-Jul-13		Partnership assessment form.docx
			Partnerships all have clear statements of	18-Jul-13		Partnership assessment scoring form.docx
			principle and objectives. Partenrship			
		The organisation's vision, strategic plans,	protocols are in the constitution			
		priorities and targets are developed through	Performance is reported each quarter in a	18-Jul-13	1	Partnership Framework.doc
		robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated When working in partnership: - ensure that there is clarity about the legal status of the partnership - ensure that representatives of	report containing key indicators. This is			
			reviewed by CMT, Cabinet and Scrutiny			
			Review of pay and conditions is continual	18-Jul-13	1	Partnerships - follow-up Questionnaire Jan
			with relevant policies and practices in place.			2013.doc
			An independant remuneration panel is			
			established and referred to in the			
			constitution.			
			Service Plans are refreshed annually and	18-Jul-13	1	2012-13 Legal Service Plan.doc
			contain revised Performance indicators			
				18-Jul-13	1	Accountancy Service Plan 2012-13.doc
			S151 Officer's statement			<u>Resounding Service Fight 2012 10:000</u>
		с .				Alt Svc Delivery Service Plan 2012-13.doc
		There is clarity about the legal status of			1	Audit service plan 2012-13 (2).doc
		partnerships			1	Financial Svcs Service Plan 2012-13.doc
					1	Housing Service Plan 2012-13.doc
		Representatives of the organisation both			1	Leadership and Corporate Communication S
		understand and make clear to all other partners				plan 2012-13.doc
		the extent of their authority to bind their			1	Constitution.pdf
		organisation to partner decisions			1	Cabinet Report - Partnerships - Feb 2013.do
		U			1	MTFP 2012-13to2014-15.pdf
					1	Member Induction - Partnerships Briefing.do
	0	suring authority members The authority's leadership sets a tone for the	A performance appraisal system is in place	18-Jul-13	Disclosures_	
	and officers exercise	organisation by creating a climate of openness,			Constitution	
	leadership by behaving in	support and respect	Annual Governance Assurance Statement	18-Jul-13	Financial Information	
	ways that exemplify high		has been prepared and published along		Complaints	
	standards of conduct and effective governance	Standards of conduct and personal behaviour	with the annual accounts			
		expected of members and staff, of work	Anti-Fraud and Anti-Corruption policy are	18-Jul-13]	
	č	between members and staff and between the	inplace and contained in the constitution			
		authority, its partners and the community are	Code of conduct is contained inthe	18-Jul-13	1	
	1	defined and communicated through codes of	constitution			

Core Principle Description	Supporting Principle Description	Outcome required		Evidenc e verified	Hyperlinks to evidence in Covalent	Attached evidence / documents in Covalent
		conduct and protocols	Complants process is detailed on the website	18-Jul-13		
		Arrangements are in place to ensure that members and employees of the authority are	Disclosures register is available on the Intranet	18-Jul-13		
		not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders	Financial regulations are in the Constitution	18-Jul-13		
		and put in place appropriate processes to	Induction processes for new members and staff explain standards of behaviour expected and are contained in the	18-Jul-13		
			constitution Member / officer code of conduct is in place and contained in the constitution.	18-Jul-13		
Promoting values for the authority and demonstrating the values of			Training is sourced as and when required for staff and members. Training requirements are listed in annual PPR's for	18-Jul-13		
good governance through upholding high standards of conduct and behaviour	Ensuring that organisational values are put into practice and are effective		staff. Complaints responses are published in standards committee agendas and minutes	23-Jul-13	omplaints L onstitution inancial Information tandards Committee	Live partnerships Current 02.01.13.xls
		Arrangements are in place to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in	Decision making practices are contained	18-Jul-13		Partnership Agreement Guidance.docx
		practice	within the constitution Member / Officer code of conduct is contaied in the Constitution	18-Jul-13	-13 -13 -13	Partnership assessment form.docx
		An effective standards committee is in place	Partnership framework and protocols in place	23-Jul-13		Partnership assessment scoring form.docx
		Shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority A set of values have been agreed for partnerships against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both	Shared Service agreements are in place. Regular meetings held with management.	18-Jul-13		Partnership Framework.doc
			Standards Committee Terms of reference are contained in the Constitution	18-Jul-13 18-Jul-13		Partnerships - follow-up Questionnaire Jan 2013.doc
			Whistleblowing procedures are on all notice boards, The intranet and in the Constitution	10-Jul-15		<u>Constitution.pdf</u>
		individually and collectively				Cabinet Report - Partnerships - Feb 2013.doc Member Induction - Partnerships Briefing.doc
	Being rigorous and transparent about how decisions – are taken and listening and acting on the suttoame of constructive	unction which encourages constructive offic challenge and enhances the authority's performance overall and that of any	Complaints procedures are publicised in offices and via the internet	18-Jul-13	Constitution Councillor, Committees, minutes and agendas. Decisions, Councillors and macting	<u>Constitution.pdf</u>
	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale	Decision making protocols, Members code of conduct and committee Terms of Reference are contained within the Constitution	18-Jul-13	meetings Scrutiny information	Standards comm report 4.3.13.pdf	
		and considerations on which decisions are	Decisions that are forthcoming and those already made are publoished on the website	24-Jul-13		
		Put in place arrangements to safeguard members and employees against conflicts of	Disclosures register is on the home page of the intranet	24-Jul-13		

Core Principle Description	Supporting Principle	Outcome required	DDC Evidence		Hyperlinks to evidence in	Attached evidence / documents in Covalent
	Description			e verified	Covalent	
		members and employees against connicts or	Minutes and agendas are published on the	18-Jul-13		
		interest and put in place appropriate processes to ensure that they continue to operate in	website including Cabinet and Scrutiny.	TO JUL 15		
		practice	These include a record of any professional			
			advice given Scrutiny have two committees each with	18-Jul-13		
		Develop and maintain an effective audit committee (or equivalent) which is independent	their own remit, lessons learned and actions			
		of the executive and scrutiny functions or make	taken are also reported. Agendas and			
		other appropriate arrangements for the discharge of the functions of such a committee	minutes are on the website The Constitution is subject to annual review	18-Jul-13		
		Ensure that effective, transparent and	The S 151 officer makes an annual	18-Jul-13		
		accessible arrangements are in place for	statement which contains an opinion on the			
		dealing with complaints	effectiveness of Internal Audit throughout the year			
	Having good-quality	Ensure that those making decisions whether for	Calendar of decisions, details of decisions,	24-Jul-13	Calendar and records of	
	information, advice and support to – ensure that	the authority or the partnership are provided with information that is fit for the purpose –	minutes and agendas are all published on the internet		decisions.	
aking informed and transparent	services are delivered	relevant, timely and gives clear explanations of				
decisions which are subject to	effectively and are what the	technical and financial issues and their				
ffective scrutiny and managing risk	community wants/needs	implications.	Governance and budget monitoring	18-Jul-13		
IISK		Ensure that proper professional advice on	arrangements are all contained within the			
		matters that have legal or financial implications is available and recorded well in advance of	Constitution The authority complies with the CIPFA	18-Jul-13		
		decision making and used appropriately.	statement of the Role of the Chief Financial			
			Officer	22 101 12	0	
	Ensuring that an effective risk management system is	Ensure that risk management is embedded into the culture of the authority, with members and	Financial standards and regulations form part of the constitution	22-Jui-13	Constitution_	Risk Management and strategy 2011 revision.
	– in place	managers at all levels recognising that risk	r			
		management is part of their jobs	Prevention of Fraud and Corruption	22-Jul-13		Constitution.pdf
		Ensure that effective arrangements for whistle-	Strategy contains a Whistle blowing, Money	;		
		blowing are in place to which officers, staff and	laundering and Anti-bribery policies. These			
		all those contracting with or appointed by the authority have access	are within the constitution. Risk management protocol in place	22-Jul-13		Counter Fraud and Corruption Policies.doc
	Using their legal powers to	Actively recognise the limits of lawful activity	Monitoring officer roles and responsibilities	-	Constitution	Constitution.pdf
	the full benefit of the citizens and communities in their	placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to	are detailed in the constitution. The Monitoring Officer also gives an Annual			
	area	the full benefit of their communities	Statement which forms part of the			
			Governance Assurance Statement.			
		Recognise the limits of lawful action and observe both the specific requirements of				
		legislation and the general responsibilities				
		place on local authorities by public law				
		Observe all specific legislative requirements				
		placed upon them, as well as the requirements				
		of general law, and in particular to integrate the key principles of good administrative law –				
		rationality, legality and natural justice – into	Officers do not provide legal advice unless	22-Jul-13		
		their procedures and decision-making	they are qualified to do so	22 101 12		
		processes	Statutory provisions are detailed in the constitution	22-Jul-13		

Core Principle Description	Supporting Principle Description	Outcome required	DDC Evidence	Evidenc e verified	Hyperlinks to evidence in Covalent	Attached evidence / documents in Covalent
	Making sure that members and officers have the skills, knowledge, experience and resources they need to	Provide induction programmes tailored to individual needs and opportunities for members and officer to update their knowledge on a regular basis.	Induction programme is in place for members. Staff induction is tailered to individual needs due to minimal recruitment numbers.	22-Jul-13	Constitution	<u>Constitution.pdf</u>
	perform well in their roles	Ensure that the statutory officers have the skills, resources and support necessary to	Job descriptions and person specifications for top management are all regluarly reviewed and in the constitution	22-Jul-13		
		perform effectively in their roles and that these roles are properly understood throughout the authority.	Legislation and other skills trianing is available through the lvysoft intranet training package.	22-Jul-13		
		· · · · · · · · · · · · · · · · · · ·	Training and development plans are in place for members. Staff training needs are picked up duing the PPR process	22-Jul-13		
Developing the capacity and capability of members and officers to be effective	Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	Staff Performance reviews are held every 6 months	22-Jul-13		Induction Evening Pack List.doc
		Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community engage with, contribute to and participate in the work of the	Training and development needs are subject to continual review through the service planning and Performance review process	22-Jul-13		Member Induction - Partnerships Briefing.doc
		authority.	Training and development plans are in place for Councillors.	22-Jul-13		2011 Member Training Programme - Version 2.doc
	membership of the authority so that best use can be made of individuals' skills and resources in balancing		place		<u>Neighbourhood forums</u>	Partnership Agreement Guidance.docx
			DES Group have a programme of ongoing service review	22-Jul-13		Partnership assessment form.docx
	continuity and renewal	Ensure that career structures are in place for members and officers to encourage	Neighbourhood forums are held regularly throughout the district. They have their own webpage	22-Jul-13		Partnership assessment scoring form.docx
		participation and development				Partnership Framework.doc Partnerships - follow-up Questionnaire Jan 2013.doc Member Induction - Partnerships Briefing.doc
	Exercising leadership through a robust scrutiny function which effectively	Both staff and the community are clear to whom DDC is accountable to and for what	A state of the district report is published annually Neighbourhood forum invitee list is	22-Jul-13 22-Jul-13	Assets of community value Neighbourhood forums State of the district	Scrutiny annual report.doc
	5	Effective relationships exist between DDC and institutional stakeholders to whom the authority is accountable.	extensive and is drawn up in co-operation		Scrutiny	
	partnerships, and develops constructive accountability relationships	Annual report of scrutiny is published	Surveys are done in house enabling a wide range of consultees to be engaged through various media.	22-Jul-13		
			The annual report of overview and scrutiny has been published	22-Jul-13		

Appendix 1

Core Principle Description	Supporting Principle Description	Outcome required			Hyperlinks to evidence in Covalent	Attached evidence / documents in Covalent
Engaging with local people and other stakeholders to ensure robust public accountability	Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning	Clear channels of communication are in place with all sections of the community and other stakeholders. Monitoring arrangements are in place to ensure that they operate effectively Arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands A clear plan is in place for consulting on issues and engaging with the public and service users. This includes a feedback mechanism for those consultees to demonstrate what has changed as a result Plans are published on an annual basis giving information on the authority's vision, strategy,		22–Jul–13	3 <u>Community</u> <u>Constitution</u> <u>Corporate Information</u> <u>Financial information</u> <u>Freedom of information</u> <u>Neighbourhood forums</u>	Partnership Agreement Guidance.docx
		plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the	Communication and Engagement Team routinely work and communicate with all sections of the community Communication strategy is in the	22-Jul-13 22-Jul-13		Partnership assessment form.docx Partnership assessment scoring form.docx
		previous period The authority as a whole is open and accessible to the community, service users and	Constitution and a Communication toolkit is available on the front page of the Intranet Consitiution published and available on the	22-Jul-13		Partnership Framework.doc
		its staff and ensure that it has made a commitment to openness and transparency in a		22-Jul-13		Partnerships - follow-up Questionnaire Jan
		Accountability extends to the recording of asset	Freedom of information scheme is	22-Jul-13		2013.doc Member Induction - Partnerships Briefing.doc
			published Medium Term Financial Plan Published	22-Jul-13		
			Neighbourhood forums provide opportunity for the public to discuss a wide range of	22-Jul-13		
			topics			
			Partnership framework is in place	22-Jul-13	<u> </u>	